

QUERY CONTROL FORM		RTIS USE ONLY	
Application No. <u>09704458</u>	Prepared by <u>ewe</u>	Tracking Number <u>05995795</u>	
Examiner-GAU <u>Healy</u>	Date <u>9-24-04</u>	Week Date <u>8-16-04</u>	
<u>2874</u>	No. of queries <u>-</u>	IFW	

## JACKET

a. Serial No.	f. Foreign Priority	k. Print Claim(s)	o. PTO-1449
b. Applicant(s)	g. Disclaimer	l. Print Fig.	q. PTOL-85b
c. Continuing Data	h. Microfiche Appendix	m. Searched Column	r. Abstract
d. PCT	i. Title	n. PTO-270/328	s. Sheets/Figs
e. Domestic Priority	j. Claims Allowed	o. PTO-892	t. Other

## SPECIFICATION

- a. Page Missing
- b. Text Continuity
- c. Holes through Data
- d. Other Missing Text
- e. Illegible Text
- f. Duplicate Text
- g. Brief Description
- h. Sequence Listing
- i. Appendix
- j. Amendments
- k. Other

## MESSAGE

1) ATTN: CHIEF DRAFTSPERSON  
 Figures 2, 11, 12, 13, 15, 16B and 17A  
 of 11-07-00 have holes at tops of drugs.  
 2 PTO-1449 Please initial or line through  
 citations see attached 7 sheets  
 3) In claim set 4-30-2004  
 page 10 is missing.  
 Please advise  
 Thank you  
 ewc

## CLAIMS

- a. Claim(s) Missing
- b. Improper Dependency
- c. Duplicate Numbers
- d. Incorrect Numbering
- e. Index Disagrees
- f. Punctuation
- g. Amendments
- h. Bracketing
- i. Missing Text
- j. Duplicate Text
- k. Other

## RESPONSE

initials

initials

Substitut for F rm 1449A/PTO (Modified)		<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use primarily symbols as necessary)		Application Number	09/704,458	
		Filing Date	11/1/2000	
		First Named Inventor:	Erickson, et al.	
		Group Art Unit	2181	
		Examiner Name	Unassigned	
Sh t	1	4	Attorney Docket Number	003239.PT05-Technology Center 2100

U.S. PATENT DOCUMENTS						
Exam. Initial*	Cite No.¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Code²	Kind (If known)			
		4,365,863		Broussaud	12/28/1982	
		4,369,523		Seki, et al.	01/18/1983	
		4,563,774		Gloge	01/07/1986	
		4,580,873		Levinson	04/08/1986	
		4,797,879		Habbab, et al.	01/10/1989	
		4,817,014		Schneider, et al.	03/28/1989	
		4,843,382		Oda, et al.	06/27/1989	
		4,856,863		Sampsel, et al.	08/15/1989	
		4,859,012		Cohn	08/22/1989	
		4,886,335		Yanagawa, et al.	12/12/1989	
		4,903,225		Brost	02/20/1990	
		4,984,238		Watanabe, et al.	01/08/1991	
		5,037,173		Sampsel, et al.	08/06/1991	
		5,216,729		Berger, et al.	06/01/1993	
		5,260,819		Hadjifotiou, et al.	11/09/1993	
		5,349,550		Gage	09/20/1994	
		5,359,683		Pan	10/25/1994	
		5,440,654		Lambert, Jr.	08/08/1995	
		5,488,862		Neukermans, et al.	02/06/1996	

FOREIGN PATENT DOCUMENTS								
Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T°
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				
			WO 0007945	A1	Nortel Networks Corp.	02/01/2001		
			WO0004671		Laor	01/27/2000		
			WO0013210	A2	XROS, Inc.	03/09/2000		
			WO0013210	A3	XROS, Inc.	03/09/2000		
			WO0020899	A2	XROS, Inc.	04/13/2000		
			WO0020899	A3	XROS, Inc.	04/13/2000		
			WO0163803	A1	XROS, Inc.	08/30/2001		

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. °Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Substitut for Form 1449A/PTO (Modified)		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Application Number	09/704,458
		Filing Date	11/1/2000
		First Named Inventor:	Erickson, et al.
		Group Art Unit	2181
		Examiner Name	Unassigned
Sheet 2 of 4	Attorney Docket Number	003239.P085	

U.S. PATENT DOCUMENTS						Technology Center 2100
Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number known	Kind Code <sup>2</sup> (if known)			
		5,524,153		Laor	06/04/1996	
		5,535,293		Buchin	07/09/1996	
		5,539,328		Mirov, et al.	07/23/1996	
		5,608,735		McCullough, et al.	03/04/1997	
		5,629,790		Neukermans, et al.	05/13/1997	
		5,648,618		Neukermans, et al.	07/15/1997	
		5,694,389		Seki, et al.	12/02/1997	
		5,699,463		Yang, et al.	12/16/1997	
		5,719,903		Hiben, et al.	02/17/1998	
		5,727,098		Jacobson	03/10/1998	
		5,774,804		McDonald	06/30/1998	
		5,828,476		Bonebright, et al.	10/27/1998	
		5,864,643		Pan	01/26/1999	
		5,903,687		Young, et al.	05/11/1999	
		5,915,063		Colbourne, et al.	06/22/1999	
		5,942,937		Bell	08/24/1999	
		5,960,132		Lin	09/28/1999	
		6,002,818		Fatehi, et al.	12/14/1999	
		6,005,993		MacDonald	12/21/1999	
		6,069,924		Sudo, et al.	05/30/2000	

FOREIGN PATENT DOCUMENTS								
Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>o</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				
			WO0171402		XROS, Inc.	09/27/2001		
			WO0150176	A1	Polatis Limited	07/12/2001		
			WO9963374		Laor	12/09/1999		
			WO9963531		Laor	12/09/1999		
			WO9966354		Laor	12/23/1999		
			WO9967666		Laor	12/29/1999		

Examiner Signature		Date Considered	
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Assistant Commissioner for Patents, Washington, DC 20231

Substitut for Form 1449A/PTO (Modified)		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Application Number	09/704,458
		Filing Date	11/1/2000
		First Named Inventor:	Erickson
		Group Art Unit	2181
		Examiner Name	Unassigned JUL 29 2002
		Attorney Docket Number	003239 P085
Sheet	4	of	
<b>OTHER ART - NO PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		GUSTAFFSON, K. & HOK, B., A Batch-Processed Optical Scanner Proc. 12th Nordic Semiconductor, Meeting, Jevnaker (Oslo: Center for Industrial Research) pp. 282-5 (1986).	
		GUSTAFFSON, K. & HOK, B., Fiberoptic Switching and Multiplexing with a Micromechanical Scanning Mirror, Digest of Technical Papers 4th Int. Conf. on Solid State Sensors and Actuators (Tokyo: Institute of Electrical Engineers of Japan) pp. 212-5 (1987).	
		GUSTAFFSON, K. & HOK, B., a Silicon Light Modulator, Journal of Physics E. Scientific Instruments 21, pp. 608-5 (1998).	
		LIN L.Y., et al., Free-Space Micromachined Optical-Switching Technologies and Architectures, OFC/100C '99, February 21-26, 1999.	
		LIN, L.Y., et al., Free-Space Micromachined Optical-Switching Technologies and Architectures, OFC/100C '99, February 21-26, 1999.	
		LAOR, H., et al., Performance of a 576 x 576 optical cross connect, NFOEC-99.	

Examiner Signature	Date Considered
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

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# Electronic Information Disclosure Statement

## Connection Protection Between Clients and Optical Cross-Connect Switches

Application:



09/704458

Confirmation: 3998

Applicant(s): Kent Erickson

Docket

003239.P085

Number:

Group Art

Unit:

2181

Examiner: Unassigned

search string:

( 4365863 or 4369523 or 4563774 or 4580873 or 4797879 or 4817014 or 4843382 or 4856863 or 4859012 or 4886335 or 4903225 or 4984238 or 5037173 or 5216729 or 5260819 or 5349550 or 5359683 or 5440654 or 5488862 or 5524153 or 5535293 or 5539328 or 5608735 or 5629790 or 5648618 or 5694389 or 5699463 or 5719903 or 5727098 or 5774604 or 5828476 or 5864643 or 5903687 or 5915063 or 5942937 or 5960132 or 6002818 or 6005993 or 6069924 or 6097858 or 6097859 or 6160821 or 6188814 or 6195402 or 6295154 or 6392220 ).pn.

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### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
	P01	4365863	1982-12-28		Broussaud	325	31X
	P02	4369523	1983-01-18		Seki, et al.	398	9X
	P03	4563774	1986-01-07		Gloge	375	1X
	P04	4580873	1986-04-08		Levinson	250	227.11
	P05	4797879	1989-01-10		Habbab, et al.	370	3

P06	4817014	1989-03-28		Schneider, et al.	364	728.03
P07	4843382	1989-06-27		Oda, et al.	340	825.59
P08	4856863	1989-08-15		Sampsell, et al.	385	24X
P09	4859012	1989-08-22		Cohn	385	24X
P10	4886335	1989-12-12		Yanagawa, et al.	250	227.11
P11	4903225	1990-02-20		Brost	375	96
P12	4984238	1991-01-08		Watanabe, et al.	370	105.1
P13	5037173	1991-08-06		Sampsell, et al.	385	17
P14	5216729	1993-06-01		Berger, et al.	385	31
P15	5260819	1993-11-09		Hadjifotiou, et al.	359	110
P16	5349550	1994-09-20		Gage	364	728.03
P17	5359683	1994-10-25		Pan	385	22
P18	5440654	1995-08-08		Lambert, Jr.	385	17
P19	5488862	1996-02-06		Neukermans, et al.	73	504.02
P20	5524153	1996-06-04		Laor	385	16
P21	5535293	1996-07-09		Buchin	385	18
P22	5539328	1996-07-23		Mirov, et al.	326	30
P23	5608735	1997-03-04		McCullough, et al.	370	513
P24	5629790	1997-05-13		Neukermans, et al.	359	198
P25	5648618	1997-07-15		Neukermans et al.	73	862.08
P26	5694389	1997-12-02		Seki, et al.	370	208
P27	5699463	1997-12-16		Yang, et al.	385	22
P28	5719903	1998-02-17		Hiben, et al.	375	322
P29	5727098	1998-03-10		Jacobson	385	31
P30	5774604	1998-06-30		McDonald	385	18

						CLASS	SUB CLASS
	P31	5828476	1998-10-27		Bonebright, et al.	359	152
	P32	5864643	1999-01-26		Pan	385	33
	P33	5903687	1999-05-11		Young, et al.	385	17
	P34	5915063	1999-06-22		Colbourne, et al.	385	140
	P35	5942937	1999-08-24		Bell	329	303
	P36	5960132	1999-09-28		Lin	385	24X
	P37	6002818	1999-12-14		Fatehi, et al.	385	24X
	P38	6005993	1999-12-21		MacDonald	385	24X
	P39	6069924	2000-05-30		Sudo, et al.	385	24X
	P40	6097858	2000-08-01		Laor	385	24X
	P41	6097859	2000-08-01		Solgaard, et al.	385	24X
	P42	6160821	2000-12-12		Dolle, et al.	385	24X
	P43	6188814	2001-02-13		Bhalla	385	24X
	P44	6195402	2001-02-27		Hiramatsu	385	24X
	P45	6295154	2001-09-25		Laor, et al.	385	24X
	P46	6392220	2002-05-21		Slater, et al.	385	24X

### Signature

Examiner Name	Date
B. Healy	6/5/03





4110  
10-902  
E. Hall

# Electronic Information Disclosure Statement

## Connection protection between clients and optical cross-connect switches

Application:



09/704458

Confirmation: 3998

Applicant(s): Kent Erickson

Docket

Number:

003239.P085

Group Art

Unit:

2181

Examiner:

Wong, Peter S.

search string:

(6,130,876 or 6,185,021 or 6,192,172 or 6,222,954 or 6,252,689 or 6,272,154 or 6,278,812 or 6,285,809 or 6,301,402 or 6,317,530 or 6,374,008 or 6,400,730 or 5,666,487 ).pn.

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OCT 03 2002

Technology Center 2100

### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
	P01	6,130,876	2000-10-10		Chaudhuri	370	228
	P02	6,185,021	2001-02-06		Gatehi, et al.	359	117
	P03	6,192,172	2001-02-20		Fatehi, et al.	385	17
	P04	6,222,954	2001-04-24		Riza	385	18
	P05	6,252,689	2001-06-		Sharp	359	168

			26			CLASS	SUB CLASS
	P06	6,272,154	2001-08-07		Bala, et al.	359	341
	P07	6,278,812	2001-08-21		Lin, et al.	385	18
	P08	6,285,809	2001-09-04		Nir, et al.	385	17
	P09	6,301,402	2001-10-09		Bhalla, et al.	385	16
	P10	6,317,530	2001-11-13		Ford	385	17
	P11	6,374,008	2002-04-16		Solgaard, et al.	385	17
	P12	6,400,730	2002-06-04		Latif, et al.	370	466
	P13	5,666,487	1997-09-09		Goodman, et al.	382	232

## Remarks

(Remarks are not for responding to an office action.)

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. \* Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. \* This Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02-2666. \* Applicants respectfully requests that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record. \*

## Signature

Examiner Name	B. Healy	Date	6/9/03
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